State of Washington
Board of Industrial Insurance Appeals

Human Resource Management Report

Plan & Align Workforce

Hire Workforce

Deploy Workforce

Reinforce Performance

Develop Workforce

October 2009

Managers' Logic Model for Workforce Management

	Outputs	Initial Outcomes	Intermediate Outcomes	
Plan & Align Workforce	Articulation of managers HRM accountabilities. HR policies. Workforce planning. Job classes & salaries assigned.	Managers understand HRM accountabilities. Jobs, staffing levels, & competencies aligned with agency priorities.	Foundation is in place to build and sustain a productive, high performing workforce.	
Hire Workforce	Qualified candidate pools, interviews & reference checks. Job offers. Appts & per-formance monitoring.	Best candidate hired & reviewed during appointment period. Successful performers retained.	The right people are in the right job at the right time.	**Ultimate Outcomes**
Deploy Workforce	Work assignments& requirements defined. Positive workplace environment created. Coaching, feedback, corrections.	Workplace is safe, gives capacity to perform, & fosters productive relations. Staff know job rqmts, how they're doing, & are supported.	Time & talent is used effectively. Employees are motivated & productive.	**Employees are committed to the work they do & the goals of the organization** **Productive, successful employees are retained** **State has workforce depth & breadth needed for present and future success**
Develop Workforce	Individual development plans. Time/ resources for training. Continuous learning environment created.	Learning environment created. Employees are engaged in develop-ment opportunities & seek to learn.	Employees have competencies for present job & career advancement	**Agencies are better enabled to successfully carry out their mission. The citizens receive efficient government services.**
Reinforce Performance	Clear performance expectations linked to orgn'al goals & measures. Regular performance appraisals. Recognition. Discipline.	Employees know how performance contributes to success of orgn. Strong performance rewarded; poor performance eliminated	Successful perf is differentiated & strengthened. Employees are held accountable.	

Executive Summary

Performance Measure	Status	Action Priority [e]	Comments
PLAN & ALIGN WORKFORCE			
Management profile [a]	11.7% = "Managers"; 4.8% or 7 = WMS only	L	WMS control point = 7
% employees with current position/competency descriptions	100.00%	L	
HIRE WORKFORCE			
Average Time to Hire Funded Vacancies [c]	41.5 avg days to hire (of 2 vacancies filled)	L	
Candidate quality ratings [c]	74% cand. interviewed had competencies needed 100% mgrs said they were able to hire best candidate	L	
Hiring balance (% types of appointments) [c]	0% promo; 0% new hires; 67% transfers; 33% exempts; 0% other	L	
Number of separations during post-hire review period [c]	0	L	
DEPLOY WORKFORCE			
Percent employees with current performance expectations [b]	100.00%	L	
Overtime usage: (monthly average) [c]	Only $56 in OT costs during this period	L	
Sick leave usage: (monthly average) [c]	6.3 hours (per capita)	H	Avg higher for one large group
# of non-disciplinary grievances [c]	0 grievances	L	
# of non-disciplinary appeals & Dir's Reviews filed [c]	0 appeals, 0 Director's Reviews	L	
DEVELOP WORKFORCE			
Percent employees with current individual training plans [b]	100.00%	L	
REINFORCE PERFORMANCE			
Percent employees with current performance evaluations [b]	100.00%	L	
Number of formal disciplinary actions taken [c]	3	L	
Number of disciplinary grievances and appeals filed [c]	2 grievances; 0 Appeals	L	
ULTIMATE OUTCOMES			
Turnover percentages (leaving state service) [c]	5.50%	H	Retirements will impact
Diversity Profile [a]	59% female; 14% people of color;87% 40+; 7% with disabilities	M	
Employee survey overall average rating [d]	4.23 overall response from fall 2007	L	

a) Data as of 6/30/09

b) Data as of 6/30/09 **or** agency may use more current date (if so, please note in the "Comments" section)

c) Data from 7/1/08 through 6/30/09

d) Data as of November 2007 State Employee Survey

e) Action Priority: H=High, M=Medium, L=Low   For those measures that have Action Steps

Plan & Align Workforce

Management Profile

WMS Employees Headcount = 7

Percent of agency workforce that is WMS = 4.8%

All Managers* Headcount = 17

Percent of agency workforce that is Managers* = 11.6%

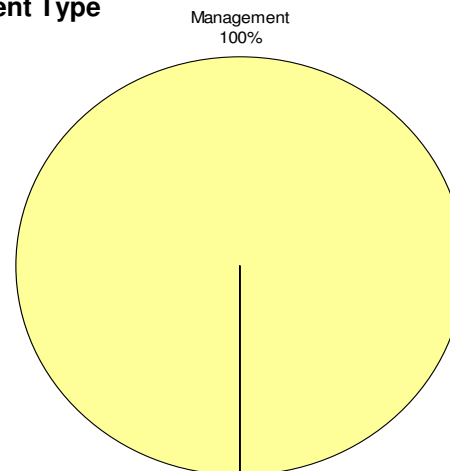* In positions coded as "Manager" (includes EMS, WMS, and GS)

Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

Performance Measures:

Management profile

Workforce Planning measure (TBD)

Percent employees with current position/ competency descriptions

Washington Management Service Headcount Trend
Data Time Period: 07/2008 through 06/2009
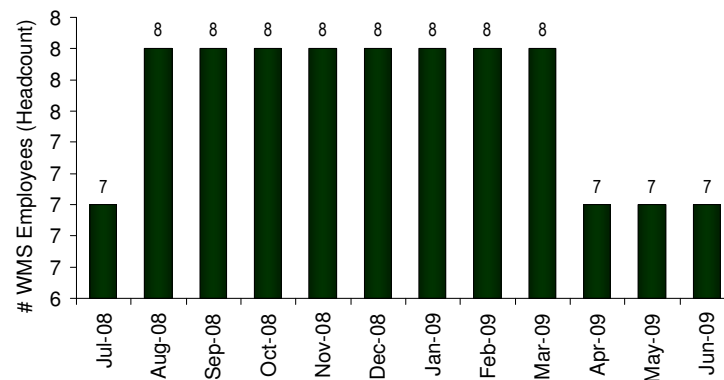
WMS Management Type

Management	7
Consultant	0
Policy	0
Not Assigned	0

Management 100%

Analysis:

- **WMS Control Point: 7**

- One non-permanent appointment ended in March 2009.

- WMS HR Manager position vacated in November 2008, and refilled in January 2009.

- No other position adds or changes.

- All WMS positions meet the definition of "Manager".

Action Steps: (What, by whom, by when)

- We will continue to monitor our use of management positions.

- If a Manager position becomes vacant, we will assess continued need and classification.

Plan & Align Workforce

Current Position/Competency Descriptions

Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

Performance Measures:

Management profile

Workforce Planning measure (TBD)

Percent employees with current position/ competency descriptions

Agency Priority: Low

> **Percent employees with current position/competency descriptions = 100%**

*Based on 147 of 147 reported employee count (excludes three-member Board
Applies to employees in permanent positions, both WMS & GS

Analysis:

- We maintained our standard of 100% current position descriptions. Supervisors are reminded through our PDP reporting process to review the position description and when an updated one is expected.

- The agency is just beginning the process to apply for Performance Management Confirmation. Work will likely begin next spring to evaluate the quality of all PDF's and determine if/how to change them.

Action Steps: (What, by whom, by when)

- Human Resources is collecting information, resources, best practices as related to effective writing of PDFs for performance management purposes.

Data as of 06/09
Source: BIIA

Hire Workforce

Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

Performance Measures

Time-to-hire vacancies

Candidate quality

Hiring Balance (proportion of appointment types)

Separation during review period

Time-to-Hire / Candidate Quality / Hiring Balance / Separations During Review Period

### Time-to-Hire Funded Vacancies – Agency Priority: Low

Average number of days to hire*:	41.5
Number of vacancies filled:	2

*Equals # of days from the date the hiring supervisor informs the agency HR Office to start the process to fill the position, to the date the job offer is accepted.

Candidate Quality – Agency Priority: Low

Of the candidates interviewed for vacancies, how many had the competencies (knowledge, skills & abilities) needed to perform the job? **Number = 17   Percentage = 74%**

Of the candidates interviewed, were hiring managers able to hire the best candidate for the job? **Both hiring managers answered "yes".**

Types of Appointments

Transfers 67%

New Hires 0%

Exempt 33%
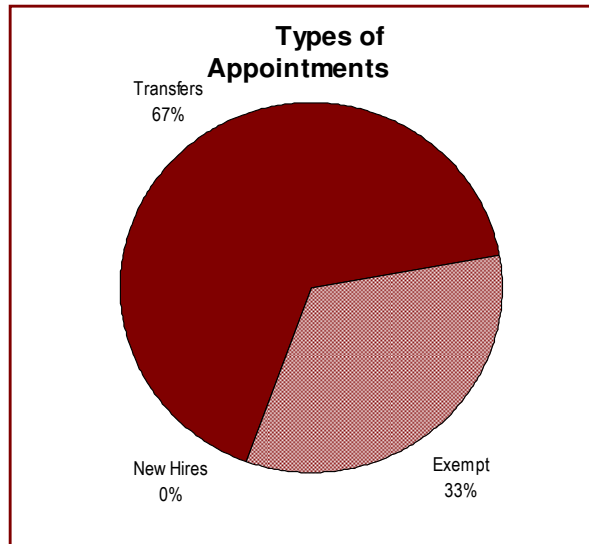
Analysis:

- One position filled was a governor appointment to a Board position.

- Only two other positions were filled during this period as a result of the hiring freezes.

- WMS HR Manager position filled using a robust process.

- While not reflected in this report's numbers, recent expansion of recruiting sources has resulted in larger and more qualified candidate pools.

Action Steps: (What, by whom, by when)

- HR staff is developing a recruiting and hiring planning worksheet to help clarify distribution of hiring tasks (HR or hiring manager) and estimate time to fill.

- Will continue to use expanded recruiting sources and research others.

Separation During Review Period

Agency Priority: Low

There were no separations during review periods

Data Time Period: 07/08 through 06/09
Source: BIIA

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Current Performance Expectations

Agency Priority: Low

> **Percent employees with current performance expectations = 100%***

*Based on 147 of 147 reported employee count (excludes three-member Board)

Applies to employees in permanent positions, both WMS & GS

Analysis:

- The agency has a strong track record for completing performance evaluations and creating new expectations per the established schedule.

- The agency is just beginning the process to apply for Performance Management Confirmation. Thorough assessment of the quality of documented performance expectations will begin soon.

- HR and IT are developing a new performance evaluation tracking application which will provide more detailed information to supervisors.

Action Steps: (What, by whom, by when)

- A new "expectations due" data field is being added to the evaluation tracking application.

- In effort to find best practices for establishing effective performance expectations, HR is consulting with agencies who have received Performance Management Confirmation, the department of Personnel, and evaluating use of a consultant.

Data as of 09/09
Source: BIIA

Deploy Workforce

Sick Leave Usage

Agency Priority: High

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures
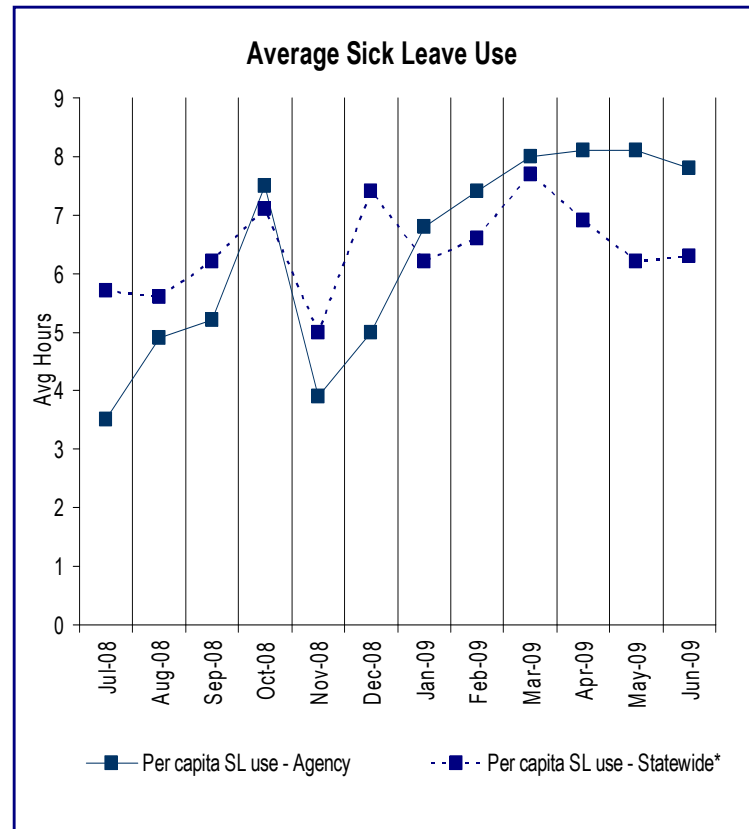
Percent employees with current performance expectations

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Average Sick Leave Use

Legend: Per capita SL use - Agency; Per capita SL use - Statewide*

Sick Leave Hrs Used / Sick Leave Balance (per capita)

Avg Hrs SL Used (per capita) - Agency	Avg SL Balance (per capita) - Agency	Avg Hrs SL Used (per capita) – Statewide*	Avg SL Balance (per capita) – Statewide*
6.3 Hrs	**355.5** Hrs	6.4 Hrs	240.2 Hrs

* Statewide data does not include DOL, DOR, L&I, and LCB

Data Time Period: 07/08 through 06/09
Source: HRMS-BI

Analysis:

- While the agency average numbers are better than the state average, we know that there are some significant difference s between groups of employees within the agency. For example, the average sick leave balance for one group of employees was just 67 hours at the end of this reporting period – in contrast to the agency average of 355 hours.

- We need to further examine our data and identify the specific problems to be addressed.

Action Steps: (What, by whom, by when)

- The supervisor/manager group has begun discussions regarding leave issues at their regular meetings. Appropriate drill down numbers will be shared with them to create awareness. The group will assist in evaluation of the information.

- HR is collecting/creating resource materials for supervisors to assist in management of employee leave usage.

- The agency has revised their Shared Leave request form, and is refining it's approach to reviewing and approving shared leave.

- The goal is to ensure all employees are using leave appropriately, and that they build up and maintain higher sick leave balances to the extent possible. The supervisor/ manager group will brainstorm ideas to achieve this goal.

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Other "Deploy Workforce" Measures – Overtime, Grievances, Appeals

Agency Priority for all: Low

Overtime: One employee received $56 in overtime payment during this period (Jan 09)

Non-Disciplinary Grievances: None received during this period.

Non-Disciplinary Appeals: None received during this period.

Analysis:

- Overtime is used infrequently at the BIIA, and it's use was almost non-existent during this period.

- Harassment and Discrimination training was provided to all supervisors in July 2009.

Action Steps: (What, by whom, by when)

- We continue to focus on resolving issues at the lowest level at the earliest opportunity. We encourage and support ongoing communication between supervisors and employees, and utilize higher management and/or HR to help facilitate when needed.

- Training for supervisors on effective conflict resolution is being scheduled for Fall 2009.

Data Time Period: 07/08 through 06/09
Source: BIIA

Develop Workforce

Individual Development Plans

Outcomes:

A learning environment is created. Employees are engaged in professional development and seek to learn. Employees have competencies needed for present job and future advancement.

Performance Measures

Percent employees with current individual development plans

Competency gap analysis (TBD)

Agency Priority: Low

> **Percent employees with current individual development plans = 100%***

*Based on 147 of 147 reported employee count (excludes three-member Board)

Applies to employees in permanent positions, both WMS & GS

Analysis:

- The agency has a strong track record for completing performance evaluations and creating new expectations per the established schedule.

- IDPs are created as part of that process.

- The agency consistently allocates enough resources to cover employees' development needs.

- A wide variety of development opportunities and methods are available to agency employees.

Action Steps: (What, by whom, by when)

- We will stay focused on the goal of 100% PDP completion.

- We are currently finishing new tuition reimbursement guidelines and will publish them internally by December 31, 2009.

- A committee of employees is working with HR to develop a comprehensive approach to supervisor support and training. Plans for this approach will be detailed by December 31, 2009.

Data as of 09/09
Source: BIIA

Reinforce Performance

Current Performance Evaluations

Agency Priority: Low

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Performance Measures

Percent employees with current performance evaluations

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Percent employees with current performance evaluations = 100%*

*Based on 147 of 147 reported employee count (excludes three-member Board)

Applies to employees in permanent positions, both WMS & GS

Analysis:

- The agency has a strong track record for completing performance evaluations per the established schedule.

- The agency is just beginning the process to apply for Performance Management Confirmation. Thorough assessment of the quality of documented performance expectations and evaluation will begin soon.

- HR and IT are developing a new performance evaluation tracking application which will provide more detailed information to supervisors.

Action Steps: (What, by whom, by when)

- In effort to find best practices for evaluating employee performance, HR is consulting with agencies who have received Performance Management Confirmation, the department of Personnel, and evaluating use of a consultant.

Reinforce Performance

Formal Disciplinary Actions / Grievances and Appeals

Agency Priority: Low

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Performance Measures

Percent employees with current performance evaluations

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Disciplinary Action Taken

Action Type	# of Actions
Dismissals	1
Reduction in Pay*	2
Total Disciplinary Actions*	**3**

Issues Leading to Disciplinary Action

- Misuse of leave
- Failure to perform assigned work

Disciplinary Grievances / Appeals

- 2 grievances filed
- Both were moved through Step 3 of the process, with no agreement / resolution
- Neither were moved to pre-arbitration by the union

Analysis:

- Our focus is to resolve employee conduct and performance problems at the lowest level, with the goal of not having to resort to formal discipline. During this period, we used disciplinary action in two long term situations where counseling and corrective action had been used extensively without sufficient progress.

Action Steps: (What, by whom, by when)

- A committee of employees is working with HR to develop a comprehensive approach to supervisor support and training. New and ongoing training in the areas of performance management, just cause, employee communication and other related topics will likely be included. Plans for this approach will be detailed by December 31, 2009.

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures
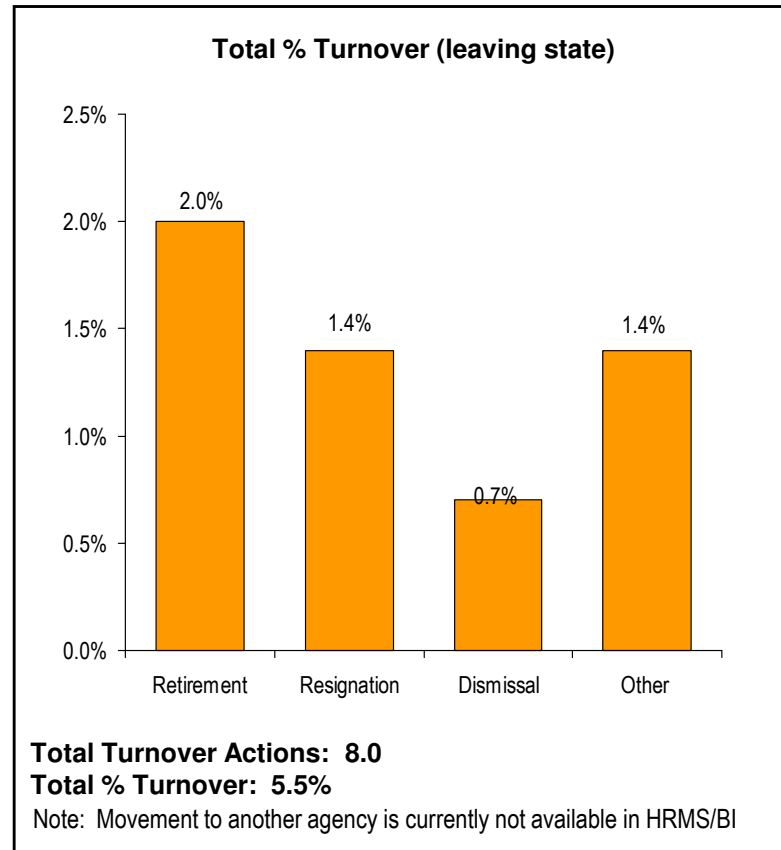
Turnover rate: key occupational categories

Workforce Diversity Profile

Employee Survey Information

Retention measure (TBD)

Turnover Rates

Agency Priority: High

Total % Turnover (leaving state)

Bar chart showing Total % Turnover (leaving state):
- Retirement: 2.0%
- Resignation: 1.4%
- Dismissal: 0.7%
- Other: 1.4%

Total Turnover Actions: 8.0
Total % Turnover: 5.5%
 Note: Movement to another agency is currently not available in HRMS/BI

Analysis:

- The BIIA has historically had low turnover, and this remained true during this period.

- The two "other" separations represent deaths of employees.

- The BIIA has an older than average workforce, with a significant number of employees eligible to retire in the next five years.

- Our Exit Interview process has been clarified and strengthened so that any trends will be identified and discussed timely.

Action Steps: (What, by whom, by when)

- Creation of a Succession Strategy in 2010 has been included in the agency's Long Range Plan.

- HR will continue to research and evaluate recruiting sources for judicial candidates.

Data Time Period: 07/08 through 06/09
Source: HRMS-BI

Workforce Diversity Profile

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

Turnover rates and types

Turnover rate: key occupational categories

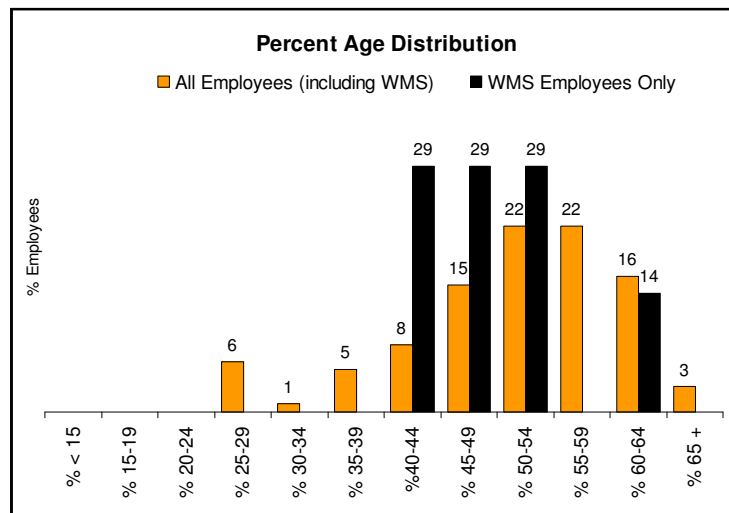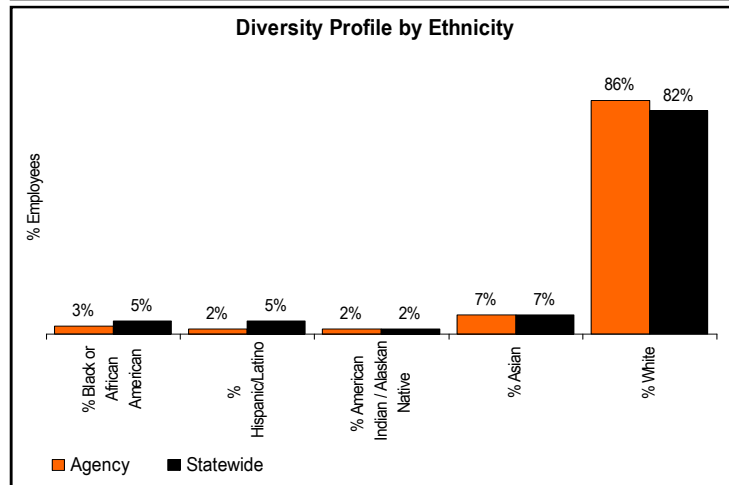**Workforce Diversity Profile**

Employee Survey Information

Retention measure (TBD)

Agency Priority: Medium

	Agency	State
Female	59%	53%
Persons w/Disabilities	7%	4%
Vietnam Era Veterans	6%	6%
Veterans w/Disabilities	1%	2%
People of color	14%	18%
Persons over 40	87%	74%

Diversity Profile by Ethnicity

	% Black or African American	% Hispanic/Latino	% American Indian / Alaskan Native	% Asian	% White
Agency	3%	2%	2%	7%	86%
Statewide	5%	5%	2%	7%	82%

■ Agency   ■ Statewide

Percent Age Distribution

■ All Employees (including WMS)   ■ WMS Employees Only

Analysis:

- There has been no significant change in agency diversity numbers since the last report.

- We completed our Affirmative Action Plan and submitted it to the Department of Personnel in August 2009.

- The AA Plan reflects that we are underutilized in the People of Color category in our Management/Judicial job group.

- We have recognized the potential need for more Spanish speaking personnel, to address the growing Hispanic population in Washington state.

- We have refreshed our judicial candidate diversity recruiting resources, and have made contact and posted recruitments with all of them. The number of judicial candidates who are people of color has increased in recent months.

- In August 2009, we created the agency's first Diversity Committee.

Action Steps: (What, by whom, by when)

- HR will continue to research diversity recruiting sources.

- We will assess personnel related approaches to respond to a growing Spanish speaking population in Washington state.

- The Diversity Committee will make the first report of their activities at the October Management Conference, and will report at our regular GMAP meetings during the next year.

- We will respond to any recommendations provided to us through DOP and the Governor's Affirmative Action Committee (GAPPcom) review of our Affirmative Action plan.

Data as of 06/2009
Source: HRMS-BI

Employee Survey Ratings

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

Turnover rates and types

Turnover rate: key occupational categories

Workforce Diversity Profile

Employee Survey Information

Retention measure (TBD)

Agency Priority: Low

Question	Avg April 2006	Avg Nov 2007
1) I have the opportunity to give input on decisions affecting my work.	4.0	4.0
2) I receive the information I need to do my job effectively.	4.3	4.2
3) I know how my work contributes to the goals of my agency.	4.7	4.6
4) I know what is expected of me at work.	4.6	4.6
5) I have opportunities at work to learn and grow.	4.0	4.0
6) I have the tools and resources I need to do my job effectively.	4.5	4.4
7) My supervisor treats me with dignity and respect.	4.5	4.5
8) My supervisor gives me ongoing feedback that helps me improve my performance.	4.2	4.0
9) I receive recognition for a job well done.	3.9	3.9
10) My performance evaluation provides me with meaningful information about my performance.	3.9	4.0
11) My supervisor holds me and my co-workers accountable for performance.	4.3	4.3
12) I know how my agency measures its success.	4.5	4.3
13) My agency consistently demonstrates support for a diverse workforce.	N/A	4.2

Overall average:	4.28	4.23
Number of survey responses:	148/151	150/153

Data as of November 2007
Source: Statewide Employee Survey

Analysis:

- The BIIA has had some of the highest overall employee survey scores since the implementation of the statewide survey.

- Another survey is currently being conducted, with results available to us in early December 2009.

- Since the last survey, the agency has increased options for supervisors and managers to provide recognition to employees.

Action Steps: (What, by whom, by when)

- Managers to decide the approach for survey results evaluation and follow up before the new results are distributed.

- Any agency wide improvement efforts as a result of the survey evaluation will be documented in appropriate agency planning tools.